

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Sullivan, Emmet G.	2. Court or Organization U.S. District Court for the District of Columbia	3. Date of Report 8/9/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 333 Constitution Ave, NW Washington, DC 20001		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Abramson Scholarship Foundation	Director
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Pension (D.C. Government)	\$66,650.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. AB Global Bond Advisor	A	Dividend			Sold	01/03/17	J	A	
2. Adidas AG Spons ADR	A	Dividend	J	T	Buy	02/23/17	J		
3.			J	T	Sold (part)	02/24/17	J	A	
4. Alphabet Inc. C1 A		None	J	T	Buy (add'l)	02/06/17	J		
5. Apple Inc.	A	Dividend	K	T	Buy (add'l)	03/01/17	J		
6. Blackrock Inc.	A	Dividend	J	T	Buy	07/21/17	J		
7. Broadcom Ltd.	A	Dividend			Sold	01/25/17	J	A	
8. Celgene Corp.		None			Sold	11/01/17	J	A	
9. Concho Resources Inc.		None			Buy	01/25/17	J		
10.					Buy (add'l)	02/06/17	J		
11.					Sold	02/06/17	J	A	
12. Delaware Value Institutional Fund	A	Dividend	J	T	Sold (part)	01/11/17	J	A	
13.			J	T	Sold (part)	02/06/17	J	A	
14.			J	T	Sold (part)	03/23/17	J	A	
15. Dreyfus Government Cash Mgmt Fund	A	Dividend	J	T	Buy (add'l)	01/13/17	J		
16. Expedia Inc New	A	Dividend	J	T	Buy	02/23/17	J		
17. Facebook Inc. Class A		None	J	T	Buy	02/09/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. First Trust Dorsey Wright Focus ETF		None	J	T	Sold (part)	02/06/17	J	A	
19.			J	T	Sold (part)	04/20/17	J	A	
20. First Trust Emerging Markets Alphadex	A	Dividend	J	T					
21. First Trust Europe Alphadex ETF	A	Dividend	J	T	Sold (part)	01/06/17	J	A	
22.					Buy (add'l)	04/19/17	J		
23.					Buy (add'l)	07/10/17	J		
24.					Sold (part)	12/21/17	J	A	
25. First Trust Healthcare Alphadex ETF	A	Dividend	J	T	Sold (part)	01/06/17	J	A	
26.					Buy (add'l)	04/19/17	J		
27.					Buy (add'l)	07/10/17	J		
28.					Sold (part)	10/04/17	J	A	
29. First Trust Japan Alphadex EFT	A	Dividend	J	T	Buy (add'l)	01/06/17	J		
30. First Trust Large Cap Growth Opportunity	A	Dividend	J	T	Sold (part)	04/19/17	J	A	
31.					Sold (part)	10/04/17	J	A	
32.					Sold (part)	12/21/17	J	A	
33. First Trust Large Cap Value Opportunity ETF	A	Dividend	J	T	Buy (add'l)	10/04/17	J		
34.					Sold (part)	12/21/17	J	A	

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35. First Trust Mid Cap Core Alphadex	A	Dividend	J	T	Sold (part)	04/19/17	J	A	
36.					Sold (part)	07/10/17	J	A	
37. First Trust Morningstar Dividend ETF (same as FT Morningstar Dividend)		None	J	T	Sold (part)	01/17/17	J	A	
38.			J	T	Sold (part)	02/06/17	J	A	
39. First Trust Nasdaq 100 Equal Weighted Index ETF	A	Dividend	J	T	Buy	10/04/17	J		
40. First Trust Nasdaq ABA Community Bk		None			Sold	01/06/17	J	A	
41. First Trust Nasdaq Bank ETF	A	Dividend	J	T	Buy	01/06/17	J		
42.					Buy (add'l)	07/10/17	J		
43. First Trust Nasdaq Oil & Gas ETF	A	Dividend	J	T	Buy	10/07/17	J		
44. First Trust NYSE Arca Bio Tech Index	A	Dividend	J	T	Buy (add'l)	01/06/17	J		
45.	A				Sold (part)	04/19/17	J	A	
46.	A				Buy (add'l)	10/04/17	J		
47. First Trust Small Cap Core Alphadex	A	Dividend	J	T	Sold (part)	04/19/17	J	A	
48.					Sold (part)	07/10/17	J	A	
49. First Trust Technology Alphadex	A	Dividend	J	T	Sold (part)	07/10/17	J	A	
50. First Trust US Equity Opportunity Fund	A	Dividend			Buy (add'l)	04/19/17	J		
51.					Sold	10/04/17	J	A	

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52. Goldman Sachs Group	A	Dividend			Buy	02/06/17	J		
53.					Sold	07/21/17	J	A	
54. Halliburton Company	A	Dividend			Buy	02/23/17	J		
55.					Sold	08/23/17	J	A	
56. Harbor International Institutional Fund	A	Dividend	J	T	Buy (add'l)	12/27/17	J		
57. Home Depot	A	Dividend	J	T					
58. Index IQ ETF IQ Chalkin US Small Cap ETF		None	J	T	Buy	10/12/17	J		
59. iShares Russell 1000 Value ETF	A	Dividend	J	T	Buy (add'l)	03/08/17	J		
60. iShares Russell 1000 Growth ETF	A	Dividend	J	T	Buy (add'l)	03/08/17	J		
61. JP Morgan Chase & Company		None	J	T	Buy	01/11/17	J		
62.			J	T	Buy (add'l)	01/17/17	J		
63. JP Morgan Mid Cap Value Select (same as JPM Midcap)	A	Dividend	J	T					
64. MFS International Value Fund	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
65. Oppenheimer International Small Mid Co	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
66. Prudential Total Return Bond Fund	A	Dividend	K	T	Sold (part)	01/03/17	J	A	
67.			J	T	Buy (add'l)	03/01/17	J		
68.			J	T	Sold (part)	03/06/17	J	A	

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69. Prudential Premier Retirement Variable Annuity (H)									
70. -AST T Rowe Price Asset Allocation		None	L	T	Buy (add'l)	01/03/17	J		
71.					Sold (part)	01/04/17	J	A	
72.					Sold (part)	04/03/17	J	A	
73.					Sold (part)	07/03/17	J	A	
74.					Buy (add'l)	10/02/17	J		
75.					Sold (part)	12/13/17	J	A	
76. -AST Prudential Growth Allocation		None	M	T	Sold (part)	01/03/17	J	A	
77.					Buy (add'l)	04/03/17	J		
78.					Buy (add'l)	04/28/17	J		
79.					Buy (add'l)	07/03/17	J		
80.					Sold (part)	10/02/17	K	A	
81.					Sold (part)	12/13/17	J	A	
82. -AST Advanced Strategies Portfolio		None	L	T	Buy (add'l)	01/03/17	J		
83.					Sold (part)	04/03/17	J	A	
84.					Sold (part)	07/03/17	J	A	
85.					Sold (part)	10/02/17	J	A	

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86.					Sold (part)	12/13/17	J	A	
87. -AST Schroders Global Tactical Portfolio		None			Sold (part)	01/03/17	J	A	
88.					Buy (add'l)	04/04/17	J		
89.					Sold	04/28/17	J	A	
90. Raymond James Financial Inc.	A	Dividend	J	T	Buy	02/23/17	J		
91. T Rowe Price Emerging Markets Stock Fund	A	Dividend	J	T	Buy (add'l)	12/26/17	J		
92. T Rowe Price Growth Stock Fund	A	Dividend	J	T					
93. Under Armour		None			Sold	02/09/17	J	A	
94. United Health Group	A	Dividend	J	T	Buy (add'l)	03/21/17	J		
95. Vanguard Strategic Small Cap Equity		None			Sold	10/13/17	J	A	
96. Visa	A	Dividend	J	T					
97. Cash - Janney Montgomery Scott, LLC		None	J	T					
98. Rental Property I Income (Washington, DC)	E	Rent	O	S					
99. Rental Property II Income (Washington, DC)	F	Rent	P1	S					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts.

Line Item 111: One-third interest Rental Property I (Washington, DC) - the assessed total value is \$706,000.00

Line Item 112 : One-half interest in Rental Property II (Washington, DC) - the assessed total value is \$1,400,000.00

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Emmet G. Sullivan

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544